

FORM PTO-1449		SERIAL NO. 10/713,126	CASE NO. 4672/310
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		FILING DATE November 14, 2003	GROUP ART UNIT 3695
(use several sheets if necessary)	APPLICANT(S): James Farrell et al.		CONFIRMATION NO. 9585

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS				
EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	NAME	CLASS/ SUBCLASS	FILING DATE

FOREIGN PATENT DOCUMENTS						
EXAMINER INITIAL		DOCUMENT NUMBER <small>Number-Kind Code (if known)</small>	DATE	COUNTRY	CLASS/ SUBCLASS	TRANSLATION YES OR NO

EXAMINER INITIAL	OTHER ART – NON PATENT LITERATURE DOCUMENTS <small>(Include name of author, title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date page(s), volume-issue number(s), publisher, city and/or country where published.</small>	
	B1	Yutaka Fukushima: "Method of Matching Orders and Price Volatility in JGB Futures Market- Analysis of Strategic Order, Appropriate Trade Rule In Accordance with Market Condition" 2001 the 9 <sup>th</sup> Conference of Nippon Finance Association Draft Report, June 3, 2001, page 303 to 316
	B2	Naoto Isaka: "Mechanism for Recovery of Liquidity After Large-Scale Macro Shock- Tokyo Stock Exchange just after 9/11" 2003 fiscal year the 11 <sup>th</sup> Conference of Nippon Finance Association Draft Report, June 7, 2003, page 317 to 331
	B3	Sadakazu Osaki: "Review of Circuit Breaker in U.S." Capital Market Quarterly, Winter 1998, Nomura Research Institution, Ltd., February 1 <sup>st</sup> , 1998, vol. 1 no. 3. page 46-52
	B4	Kengo Fukamachi: The American Futures & Options Trading, Toyo Keizai Inc. July 20 <sup>th</sup> , 2000, first edition, page 70-76
	B5	Notification of Reasons for Rejection, Japanese Patent Office, Application No. 2006-521123, November 10, 2009, 4 pages

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.